



MISSOURI DEPARTMENT OF MENTAL HEALTH

DORN SCHUFFMAN, DEPARTMENT DIRECTOR



DEPARTMENT
OPERATING
REGULATION
NUMBER

DOR
6.160

CHAPTER Human Resources	SUBCHAPTER Personnel Administration	EFFECTIVE DATE 7/1/2002	NUMBER OF PAGES 2	PAGE NUMBER 1 of 2
SUBJECT Performance Planning and Appraisal		AUTHORITY Section 630.050, RSMo	HISTORY See Below	
PERSON RESPONSIBLE Deputy Director, Human Resources			SUNSET DATE 7/1/2004	

PURPOSE: Prescribes procedures for employee performance planning and appraisal.

APPLICATION: Applies to the entire department.

(1) As used in this DOR, the following terms shall mean:

(A) "Consultant," (used only in some organizations), not a rater but someone, other than a line supervisor, with functional or area responsibility over part of an employee's duties. A consultant may participate in the planning and appraisal of the employee's performance by giving information to the rater;

(B) "Rater," employee's line supervisor as designated by the facility and communicated to the employee;

(C) "Reviewer," supervisor of employee's supervisor as designated by the facility and communicated to the employee.

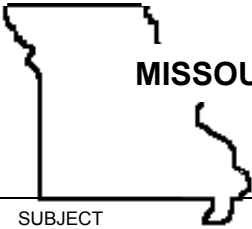
(2) The department, divisions, and facilities shall use the Division of Personnel Employee Performance Planning and Appraisal System for planning and appraising the work of classified and unclassified employees who work at least twenty (20) hours per week and for more than six (6) months.

(3) After completing the performance planning for an employee on Form MO 300-0875, the rater shall obtain the reviewer's signature and give the employee one copy of each. Continuation Form MO 300-0874 may be used if extra paper is needed. The rater shall keep a copy and provide a copy of each completed document to the personnel office for the employee's file. The rater shall give a copy of the Performance Plan to the consultant.

(4) During the performance period, the rater (and consultant) shall maintain an Employee Performance Log (MO 300-0873). The employee shall have access to this log at any time upon request during the appraisal period. The rater (and consultant) shall have the employee initial all log entries at the time entered or as they are discussed in rater-employee special or periodic conferences about performance.

(5) After completing the performance appraisal, raters, consultants, (if used) and reviewers shall complete and sign the long form, provide a copy to the personnel office for the employee's file, and give a copy to the employee. The performance log shall be attached to the long appraisal form. (Form MO 300-0875).

(6) After completing the Performance Appraisal Summary (MO 300-0876), the rater shall keep a copy, give a copy to the employee, and provide two copies to the facility's personnel office (one copy for filing and one to be sent to the Division of Personnel.)



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SUBJECT	EFFECTIVE DATE	NUMBER OF PAGES	PAGE NUMBER
Performance Planning and Appraisal	7/1/2002	3	2 of 3

(7) If a conflict arises between the rater and the reviewer on performance planning or appraisal, or both, the matter shall be considered a management issue with the reviewer to prevail after efforts to reach agreement.

(8) If an employee refuses to sign either the planning form or the final appraisal form, or both, the refusal shall be so noted on the forms.

(9) Employees may attach any memoranda setting out disagreements or comments to the plan appraisal or appraisal summary.

(10) If a conflict arises between a consultant and a rater, the rater and the consultant should first seek guidance from facility management (e.g., discipline director, head of facility) especially regarding planning or appraising professional practice. If still unresolved after consultation, the rater shall make the final determination unless otherwise directed by the rater's supervisor.

(11) Performance planning shall be done at the beginning of probationary periods and reviewed annually thereafter. If an employee is informed in writing that components and expectations do not change from one period to the next, the plan shall be presumed to be in place and the employee's rater, consultant and reviewer's signatures are not necessary in the plan completion box on the forms.

(12) Performance appraisals shall be done at the end of probationary periods and at least every year thereafter. Raters may do performance reviews more frequently if useful in the supervisory process. Facilities or work units may have their own policies requiring periodic supervisor-employee conferences (e.g., once a month or quarter). If supervisors change, the outgoing supervisor shall complete the appraisal for the period supervised unless the period is less than thirty (30) days in which case the supervisor will give the employee and the new supervisor a memorandum describing the performance.

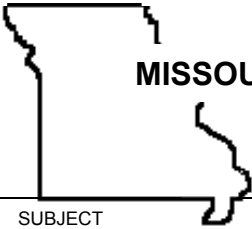
(13) Employees in the same classifications with the same duties and responsibilities may have all or part of their job components and expectations standardized.

(14) Management may incorporate ninety (90)-day goals (or for other time periods) into an annual performance plan by reference.

(15) Employees may grieve their performance plans or appraisals as set out in DOR 6.090.

(16) The personnel office of each facility shall maintain and distribute current supplies of blank forms for the system. The personnel office shall distribute the forms to the supervisors at least thirty (30) days before an appraisal is due.

(17) Supervisors (raters) shall be considered delinquent if they do not complete plans or appraisals within thirty (30) days after due.



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Performance Planning and Appraisal	7/1/2002	3	2 of 3

History: Original DOR effective May 1, 1989. Amendment effective July 1, 2002. On July 1, 2003 the sunset date was extended to July 1 2004.